



IFW 2161

PTO/SB/21 (09-04)

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

51

Application Number

09/836,694

Filing Date

April 17, 2001

First Named Inventor

Kam, Kendrick W.

Art Unit

2161

Examiner Name

Weisberger

Attorney Docket Number

26592-004US

ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☒

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐

Reply to Missing Parts/
Incomplete Application

☐

Reply to Missing Parts
under 37 CFR 1.52 or 1.53

☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐

Petition to Convert to a
Provisional Application

☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) _____

☐

Landscape Table on CD

☐

After Allowance Communication to TC

☐

Appeal Communication to Board
of Appeals and Interferences

☐

Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

☐

Proprietary Information

☐

Status Letter

☒

Other Enclosure(s) (please identify
below):

Supplemental Search Report, European
Patent Office, 4 pgs.
WO 99/15950, 45 pgs (2-sided)

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Innovation Law Group, Ltd.

Signature

Jacques M. Dulin

Printed name

Jacques M. Dulin, Esq.

Date

Nov. 2, 2005

Reg. No.

24,067

CERTIFICATE OF TRANSMISSION/MAILING

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Signature

Betty Oppenheimer

Typed or printed name

Betty Oppenheimer

Date

Nov. 2, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

the application of: Kam et al.

Serial No.: 09/836,694

Filed: April 17, 2001

Title: Internet-based System for
Identification, Measurement and Ranking of
Investment Portfolio Management, and
Operation of a Fund Supermarket, including
"Best Investor" Managed Funds

) Attorney Docket No. 26592-004US

) Group Art Unit: 2161

) Examiner: Weisberger

) Telephone: unknown

) Date of Mailing: November 2, 2005

Certification under 37 CFR 1.8

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Name: Betty Oppenheimer

Signature: _____

Fourth Supplemental
INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant discloses the following information under Rule 97:

REFERENCES

[X] The Applicant wishes to make of record the references listed on the attached Form PTO/SB/08A. Copies of the listed references are attached, where required.

[] The Applicant(s) wish to make of record the references cited by the Examiner or submitted by the Applicants in the prior (parent or priority) application _____, filed _____, now U.S. Patent _____ issued _____, and/or in the Search Report for PCT/US _____; and/or in the National Phase § 371 case Serial No. _____ filed _____ (status _____). Where applicable, copies of the prior Information Disclosure Statement and Search Report are attached. Being priority documents, the copies of the references are not required. Applicants can provide the references on request.

RELATED CASE(S)

- ☐ Applicant has filed the following related U.S. application: This application is a Regular US application of Provisional US Application 60/ filed and 60/ filed. Priority of those applications is claimed.

CERTIFICATION

The undersigned certifies that:

- ☒ No Office Action has been received in this case.
- ☐ The reference(s) disclosed herein were previously disclosed in the original priority application Specification as filed _____, or/and the relevance to the present application described therein.
- ☒ The WIPO patent publication was cited in a communication from a foreign patent office in Applicant's European counterpart foreign application.

FEE PAYMENT

- ☒ No fee is due for the papers being filed herewith.
- ☐ Enclosed is a check in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith.
- ☐ Please charge Deposit Account No. 04-1699 in the amount of \$_____ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.
- ☒ If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 04-1699 in recording any fee charge made.

Respectfully submitted,
Kendrick W. Kam, et al
Applicants

DATE: November 2, 2005

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Jacques M. Dulin, Esq.
Registration No. 24,067

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet	1	of	1
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Complete if Known

Application Number	09/836,694
Filing Date	4/17/2001
First Named Inventor	Kam et al.
Art Unit	2161
Examiner Name	Weisberger, Richard
Attorney Docket Number	26592-004US

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner
Signature**

Date	
Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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